

U.S. DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION & REHABILITATIVE SERVICES
OFFICE OF SPECIAL EDUCATION PROGRAMS
WASHINGTON, D.C. 20202

FISCAL YEAR 2004
APPLICATION FOR NEW GRANTS UNDER THE
INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)

RESEARCH AND INNOVATION TO IMPROVE SERVICES AND
RESULTS FOR CHILDREN WITH DISABILITIES (CFDA 84.324)

Research on Accessible Reading Assessments (CFDA 84.324F)



DATED MATERIAL - OPEN IMMEDIATELY

CLOSING DATE: August 23, 2004

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Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0028. The time required to complete this information collection is estimated to average 45 hours and 40 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of Special Education Programs, U.S. Department of Education, 600 Independence Avenue, S.W., MES 3527, Washington, D.C. 20202-4651.

Dear Applicant:

This application packet contains information and the required forms for you to use in submitting a new application for funding under one program authorized by the Individuals with Disabilities Education Act (IDEA). This packet covers one competition under the Research and Innovation to Improve Services and Results for Children with Disabilities (CFDA 84.324) program-- Research on Accessible Reading Assessments.

An application for an award must be: (1) hand-delivered, submitted electronically, or mailed by the closing date; and, (2) have an original signature on at least one copy of the assurances and certifications (Part IV of the application form). It is also important to include the appropriate Catalog of Federal Domestic Assistance (CFDA) numeric and alpha in Item #3 on ED Form 424 (e.g., CFDA No. 84.324F).

Please note the following:

- **ADDITIONAL BACKGROUND AND REFERENCE INFORMATION FOR CFDA NO. 84.324F.** In addition to the background and reference information included in the Federal Register notice for CFDA No. 84.324F, a more extensive background description and a complete list of the references associated with the Research on Accessible Reading Assessments competition is included in an attachment immediately following this letter. Applicants are encouraged to consider this information as applications are prepared.
- **APPLICATION SUBMISSION.** Based on the precautionary procedures the U.S. Postal Service is using to process mail, we are experiencing delays in the delivery of mail to the Department. Therefore, you may want to consider sending your application by overnight courier or submitting your application electronically.
- **MAXIMUM AWARD AMOUNT.** In addition to providing detailed budget information for the total grant period requested, the competition included in this package has a maximum award amount (See Page B-6 of this package). Please be advised that for the priority in this package, the maximum award amount covers all project costs including indirect costs.
- **STRICT PAGE LIMITS.** The competition included in this package limits the Part III Application Narrative to a specified number of double-spaced pages. This page limitation applies to all material presented in the application narrative -- including, for example, any charts, tables, figures, and graphs. (See Pages B-6 of this package). The Department will reject, and will NOT consider an application that does not adhere to the page limit requirements for the competition.
- **FORMAT FOR APPLICATIONS.** Please note that additional information regarding formatting applications has been included on Pages C-3 and 4 of the "General Information on Completing An Application" section of this package.
- **PROTECTION OF HUMAN SUBJECTS IN RESEARCH.** The Application for Federal

Education Assistance (Form ED 424) requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period. (See section 12-12a of Form ED 424 and the Instructions and Definitions for Form ED 424). The Definitions for Form ED 424 attachment includes information that applicants need to complete the protection of human subjects item and, as appropriate, to provide additional information to the Department regarding human subjects research projects. Additional information on completing the protection of human subjects item is also available and can be accessed on the INTERNET at:

<http://www.ed.gov/about/offices/list/ocfo/gcsindex.html>
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>

- **RESPONSE TO GPRA.** As required by the Government Performance and Results Act (GPRA) of 1993 OSEP has developed a strategic plan for measuring GPRA performance. The program included in this announcement is authorized under Part D National Programs of the Individuals with Disabilities Education Act. A copy of the Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities program's performance measures under GPRA is included in the back of this package. Applicants are encouraged to consider this information as applications are prepared.
- **COPIES OF THE APPLICATION.** Current Government-wide policy requires that an original and two copies need to be submitted. OSEP would appreciate receiving three additional copies to facilitate the peer review process. This means an original and two copies are required but we would appreciate your voluntarily submitting an additional three copies (six applications in all).

A program officer is available to provide information to you regarding this competition. Please refer to the name of the program contact at the end of the priority description. For information about other U.S. Department of Education grant and contract opportunities, we encourage you to use the Department's grant information web page which can be accessed on the INTERNET at:

<http://www.ed.gov/about/offices/list/ocfo/gcsindex.html>

We appreciate your efforts to improve the provision of services for individuals with disabilities.

Sincerely,

Louis C. Danielson, Ph.D.
Director
Research to Practice Division
Office of Special Education
Programs

ATTACHMENT

ADDITIONAL BACKGROUND AND REFERENCE INFORMATION FOR 84.324F

Background: Large-scale assessments of student achievement are key components of educational accountability and reform, and no area of achievement receives more attention than reading. Reading is an essential skill for functioning in school and in adult life. The No Child Left Behind Act of 2001 (NCLB) requires States to assess student proficiency in “mathematics and reading or language arts” to help in determining if schools are making “adequate yearly progress” (AYP) toward the goal of academic proficiency for all students. This law clearly reflects the importance of holding schools accountable for developing and assessing reading proficiency for students. However, for students who have disabilities that affect reading, conventional assessments of achievement can be problematic.

A variety of disabilities can affect reading, such as blindness and other visual impairments, specific learning disabilities, mental retardation, deafness and other hearing impairments, and orthopedic or health impairments that impede the physical components of reading. Approximately half of the students receiving special education are identified as having specific learning disabilities, and it is estimated that 70 percent to 80 percent of the students with specific learning disabilities have reading difficulties (U.S. Department of Education, 2002; Lerner, 1989; Kavale & Reese, 1992). Students with deafness or other hearing impairments often have deficits in reading achievement, with some studies reporting that their average reading comprehension is roughly six grade equivalents lower than the hearing population at age 15 (Karchmer & Mitchell, 2002). The National Longitudinal Transition Study-2 found that secondary-aged students in all categories of disability averaged below-grade-level reading achievement. For example, students with specific learning disabilities averaged

3.4 years below grade level. For students with visual impairments, hearing impairments, or deaf-blindness the average discrepancy was 2.6 years, 3.6 years, and 5.3 years, respectively. For students with orthopedic impairments, other health impairments, or traumatic brain injury, the discrepancy was 2.8 years, 2.4 years, and 4.6 years, respectively. The largest discrepancies were found for students with mental retardation or multiple disabilities, whose reading achievement averaged 6.3 and 5.8 years below grade level, respectively (Blackorby, Chorost, Garza, & Guzman, 2003).

For most current assessment instruments, reading deficits are addressed through accommodations such as Braille, large print, magnifying equipment, oral presentation of instructions and/or test items, signing, extended time and paraphrasing. Such accommodations are used with relative frequency in State assessments (Thurlow, 2001). Problems arise when accommodations compromise the validity and comparability of assessments, and this issue becomes particularly acute when students who have disabilities that affect reading are included in large-scale reading assessments. For some accommodations, such as large print and magnification, expert opinion generally holds that threats to validity and comparability on reading assessments are minimal (Bielinski, Sheinker, & Ysseldyke, 2003). However, other accommodations, such as oral presentation of reading tests, signing reading tests, paraphrasing, extended time, and Braille are thought to threaten validity and are “non-allowed” accommodations on many tests and in many States (Bielinski, et al., 2003; Thurlow, House, Boys, Scott, & Ysseldyke, 2000; Sireci, Li, & Scarpati, 2003). For students needing those accommodations, it is sometimes impossible for currently available large-scale tests of reading proficiency to produce scores that are valid and comparable to the general population.

On the face of it, it may be counterintuitive to discuss the assessment of reading proficiency for students who have disabilities that limit their ability to read. One might simply argue that if they

can't read to take the reading test, then they can't read. However, this is an oversimplification and misstatement of the student population, the purposes of assessment, and the nature of reading. Among this population are students with remediable reading deficits for whom schools must be accountable for achieving grade-level proficiency in reading (as required under NCLB) and for whom progress toward proficiency must be assessed. Also among this population are students who may never be able to read in the conventional sense (for example students with blindness), and students who may always be dependent on accommodations or supports to read (for example some students with severe learning disabilities, mental retardation, or physical disabilities). For such students, schools must still be held accountable for developing reading proficiency to the equivalent of grade level, although the topography of reading for these students may differ from the norm.

Large-scale assessments can have different purposes, and sometimes several purposes are addressed in a single assessment. For example, NCLB requires that State assessments not only provide information necessary for determining AYP, but also produce individual student interpretive, descriptive, and diagnostic reports that allow parents, teachers, and principals to understand and address the specific academic needs of students, and include information regarding achievement on academic assessments aligned with State academic achievement standards (Sec. 1111(b)(3)(C)(xii)). Thus, the failure of a test to provide a meaningful score not only precludes the student's demonstration of academic proficiency, but it also denies essential information to the parents and the schools as they endeavor to improve student achievement.

The nature of reading and literacy are topics of continued debate, and a precise and universal definition of "reading" is elusive. A recent analysis of State reading or literacy standards found that the specific standards vary from State to State but tend to share the following common themes: (1) literacy defined as acquisition of discrete skills such as phonemic knowledge, word recognition, and

fluency; (2) literacy defined as knowledge of conventions and/or elements in print, such as expository elements, print conventions, and context; (3) literacy defined as an interactive, thinking activity involving such elements as inferential comprehension, critical analysis, and higher-order thinking; (4) literacy defined as a catalyst for personal growth involving such elements as vocabulary development, and reflection on self and culture; and (5) literacy defined as a problem solving tool involving such elements as mining information, following directions, and solving problems (Thompson, Johnstone, Thurlow, & Clapper, 2004). Judging from their standards, States clearly view literacy as a complex and meaningful activity. This view is consistent with current formulations of reading as a complex interplay of factors such as text, purpose, reader characteristics, and context, with changes occurring, in part, as a result of social changes and new technologies (National Institute of Child Health and Human Development, 2000; Snow, 2002).

Principles of universal design have been proposed to make assessments more accessible for students with disabilities while maintaining validity and comparability of scores (Thompson, Johnstone, & Thurlow, 2002; Sireci, et al., 2003). Tests that are designed to be inherently accessible and valid for the widest possible range of students can avoid many of the problems associated with assessment accommodations and modifications, and can reduce the need for accommodations, modifications and alternate assessments. Based on the preceding discussion, certain principles can be suggested for making large-scale assessments of reading proficiency more accessible for students who have disabilities that affect reading. For example, such assessments should be based on constructs of reading that permit flexible expression of reading proficiency while maintaining the validity and comparability of scores. These instruments should reflect the complex nature of reading and, to the extent possible, allow individual student profiles of performance (and perhaps growth) to be summarized and aggregated across students. Accommodations necessary for the participation of

students with disabilities should be usable without threatening validity and comparability. Format and readability factors that are unrelated to the constructs of interest should be controlled.

Assessment results should be robust and stable enough to allow for monitoring group trends across years despite changes in student populations. And, high expectations for student achievement of full reading proficiency should be maintained, regardless of the flexibility the student is given in expressing reading achievement. These principles are suggestive and not intended to be final or exhaustive.

References:

- American Educational Research Association, American Psychological Association, & National Council on Measurement in Education. (1999). Standards for Educational and Psychological Testing. Washington, DC: Author.
- Bielinski, J., Sheinker, A., & Ysseldyke, J. (2003). Varied opinions on how to report accommodated test scores: Findings based on CTB/McGraw-Hill's framework for classifying accommodations (Synthesis Report 49). Minneapolis, MN: University of Minnesota, National Center on Educational Outcomes.
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- Large Scale Assessment (Snowbird, UT June 1999). 51p. American Institutes for Research in the Behavioral Sciences, Palo Alto, CA.
- Karchmer, M.S. & Mitchell, R.E. (2002). In M. Marschark & P. Spencer (Eds.), *Handbook of deaf studies, language, and education*. New York: Oxford University Press.
- Lerner, J. W. (1989). Educational interventions in learning disabilities. *Journal of the American Academy of Child and Adolescent Psychiatry*, 28, 326-331.
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- Snow, C. E. (2002). Reading for understanding: toward a research and development program in reading comprehension. Santa Monica, CA: RAND Corporation.
- Thompson, S., Blount, A., & Thurlow, M. (2002). A summary of research on the effects of test accommodations: 1999 through 2001 (Technical Report 34). Minneapolis, MN: University of Minnesota, National Center on Educational Outcomes.
- Thompson, S. J., Johnstone, C. J., & Thurlow, M. L. (2002). Universal design applied to large-scale assessments (Synthesis Report 44). Minneapolis, MN: University of Minnesota, National Center on Educational Outcomes.

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- Thurlow, M.L. (2001). Use of accommodations in state assessments: What databases tell us about differential levels of use and how to document the use of accommodations (Technical Report 30). Minneapolis, MN: University of Minnesota, National Center on Educational Outcomes.
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- U.S. Department of Education (2002). To assure the free appropriate public education of all children with disabilities: Twenty-fourth annual report to congress on the implementation of the Individuals with Disabilities Education Act. Washington, DC: Author.

**PRIORITY DESCRIPTION
AND
SELECTION CRITERIA
FOR THE
RESEARCH AND INNOVATION
TO IMPROVE SERVICES AND RESULTS
FOR CHILDREN WITH DISABILITIES PROGRAM**

RESEARCH ON ACCESSIBLE READING ASSESSMENTS (CFDA 84.324F)

DEADLINE: 08/23/04

ABSOLUTE PRIORITY:

Background: The purpose of this priority is to support research to make large-scale assessments of reading proficiency more accessible for students who have disabilities that affect reading. This research will contribute to the ultimate goal of making large-scale assessments more “universally designed”, i.e., designed from the beginning to be accessible and valid for the widest possible range of students, including students with disabilities.

Note: For additional background information and a complete list of the references for this priority, applicants are encouraged to review this material in the application package for this competition.

Priority: This priority is for projects to conduct systematic programs of research and development to make large-scale assessments of reading proficiency more accessible for students who have disabilities that affect reading. Projects may focus on one or more of the categories of disabilities that affect reading. Given a sufficient number of approved high quality applications, the Department intends to fund projects that, in combination, address the assessment of students with a full range of disabilities that affect reading, including particularly blindness and other visual impairments, deafness and other hearing impairments, learning disabilities, and mental retardation. The Department intends to fund at least one project that addresses the assessment of students working toward alternate achievement standards, as defined in 34 CFR Part 200 as amended by the regulations published in the Federal Register, December 9, 2003, pp. 68698 – 68708.

Each project must complete the goals described below:

Goal One: In collaboration with the other projects funded under this priority, formulate a definition of the construct of “reading proficiency” that can be used by all of the projects as a basis for research and development for accessible large-scale tests of reading proficiency (as discussed above) that (consistent with the requirements of the No Child Left Behind Act of 2001 (NCLB)) provide (a) a valid measure of proficiency against academic standards, and (b) individual interpretive, descriptive, and diagnostic reports for the full range of students with disabilities that affect reading. In collaboration with the other projects funded under this priority: (1) develop documentation that supports the definition on the basis of research and theory, including reports of the National Reading Panel and the Rand Corporation’s report on reading comprehension;¹ (2) analyze the definition in relation to current State and national academic standards, and the characteristics of the populations under study by the projects; (3) obtain input from relevant outside groups, such as experts in assessment, reading, special education,

¹ Snow, C. E. (2002). Reading for understanding: toward a research and development program in reading comprehension. Santa Monica, CA: RAND Corporation.

disabilities; and (4) refine the definition as needed on the basis of input from external sources and research conducted under this priority.

Goal Two: Conduct a program of research on the assessment of reading proficiency (as defined under Goal One) to determine the effects of various factors of test development, design, and administration (item development, field test methods, presentation modes, formats, schedules, etc.) on accessibility, validity, and comparability for students with disabilities that affect reading. The program of research must be designed to produce an empirical base, in combination with other available research findings, for developing accessible reading assessments that can provide (a) a valid measure of proficiency against academic standards, and (b) individual interpretive, descriptive, and diagnostic reports for students with disabilities that affect reading. The research may include investigations of technology-based assessments, vertical scaling, and other approaches for allowing tests to accommodate wide variations in student proficiency and other characteristics.

The research must employ sound methodologies. It cannot simply be designed to demonstrate performance increments for students with disabilities, but must be designed to demonstrate increased access while validity and comparability are maintained. One possible research design is based on experimental research on assessment accommodations. This design is based on an “interaction” model in which accommodations produce a “differential boost” in the performance of students with specific disabilities in comparison to the performance of students without those disabilities who also receive the accommodations.² This research is discussed in several recent summaries.³ For the purposes of this priority, this design may be adapted to test specific features of accessible reading assessments. Other research approaches, for example research based on item response theory or factor analysis, may also be important components of the program of research supported under this priority. For all research designs, the project must provide sufficient sample sizes and research rigor to produce conclusive findings.

Goal Three: In collaboration with the other projects funded under this priority, develop research-based principles and guidelines for making large-scale assessments of reading

² Phillips, S.E. (1994). High-stakes testing accommodations: Validity versus disabled rights. *Applied Measurement in Education*, 7, 93-120.

³ Chiu, C., & Pearson, P.D. (June 1999). Synthesizing the Effects of Test Accommodations for Special Education and Limited English Proficiency Students. Paper presented at the National Conference on Large Scale Assessment (Snowbird, UT June 1999). American Institutes for Research in the Behavioral Sciences, Palo Alto, CA.

Sireci, S.G., Li, S., & Scarpatti, S. (2003). The effects of test accommodations on test performance: A review of the literature. Center for Educational Assessment Research, Report No. 485. Amherst, MA: School of Education, University of Massachusetts Amherst.

Thompson, S., Blount, A., & Thurlow, M. (2002). A summary of research on the effects of test accommodations: 1999 through 2001 (Technical Report 34). Minneapolis, MN: University of Minnesota, National Center on Educational Outcomes.

proficiency more accessible for students who have disabilities that affect reading. The principles and guidelines must address all phases of test design and development, including definitions of constructs, development of items and formats, field testing and revision, etc. To the greatest possible degree, the principles and guidelines developed under this goal must be compatible extensions of the Standards for Educational and Psychological Testing.⁴ These principles and guidelines must be in formats that allow for their use in developing and evaluating assessments, as well as in focusing future research.

Goal Four: In collaboration with the other projects funded under this priority, and based on the definition formulated under Goal One and the research conducted under Goal Two, develop instruments and/or methods for assessing reading proficiency that are suitable for large-scale administration for school accountability purposes, that are accessible to students who have disabilities that affect reading, that maintain validity and comparability of scores, and that can provide (a) a valid measure of proficiency against academic standards, and (b) individual interpretive, descriptive, and diagnostic reports for the full range of students with disabilities that affect reading.

In collaboration with the other projects funded under this priority, a project must conduct a large-scale field test on the instruments and methods to determine the degree to which they provide for accessibility, validity, and comparability. The projects must provide sufficient sample size and diversity, as well as sound data collection and analysis procedures to ensure conclusive field test findings.

It is anticipated that the projects will complete Goals 1 through 3 during the first three years of operation, and that Goal 4 will be completed during years 4 and 5. In deciding whether to continue each project for the fourth and fifth years for the completion of Goal 4, we will consider the requirements of 34 CFR 75.253(a), and in addition --

- (a) The recommendation of a review team consisting of experts selected by the Secretary, which review will be conducted during the first half of the project's third year in Washington D.C. Projects must budget for staff travel associated with this review;
- (b) The timeliness and effectiveness with which all requirements of the negotiated cooperative agreement have been or are being met by the project;
- (c) The degree to which the project is making a positive contribution to providing research findings for making large-scale assessments of reading proficiency more accessible for students who have disabilities that affect reading;
- (d) The degree to which the project is collaborating effectively with other projects funded under this priority and producing a cohesive set of products and findings; and

⁴American Educational Research Association, American Psychological Association, & National Council on Measurement in Education. (1999). Standards for Educational and Psychological Testing. Washington, DC.

(e) The quality of plans and arrangements for conducting the field test called for under Goal 4.

General Requirements: Each project must --

(a) Form a general advisory committee on which representation is invited from the National Center for Education Statistics; the National Assessment Governing Board; the National Center on Educational Outcomes; the National Center for Research on Evaluation, Standards, and Student Testing; organizations representing test developers, reading educators, and researchers; disability groups; and other appropriate projects and organizations. The primary purposes of this advisory committee are to review and advise on the general plans of the project and to provide liaison with significant stakeholder groups;

(b) Form a technical advisory committee consisting of experts in reading, assessment, and research. The purpose of this technical advisory committee is to review and provide technical input on the specific research and development plans and activities of the project;

(c) Disseminate the project's findings. Dissemination must include the use of a Web site that meets all relevant standards for accessibility;

(d) Budget for a two-day Project Directors' meeting in Washington, DC during each year of the project; and

(e) In addition to the annual two-day Project Directors' meeting in Washington, DC provided for in paragraph (d), budget for another annual two-day trip to Washington, DC to meet with Federal officials and the other projects funded under this priority, to discuss plans, findings, and methods of dissemination.

PERFORMANCE MEASURES: Under the Government Performance and Results Act (GPRA), the Department is currently developing indicators and measures that will yield information on various aspects of the quality of the Research and Innovation to Improve Services and Results for Children with Disabilities program. Included in these indicators and measures will be those that assess the quality and relevance of newly funded research projects. Two indicators will address the quality of new projects. First, an external panel of eminent senior scientists will review the quality of a randomly selected sample of newly funded research applications, and the percentage of new projects that are deemed to be of high quality will be determined. Second, because much of the Department's work focuses on questions of effectiveness, newly funded applications will be evaluated to identify those that address causal questions and then to determine what percentage of those projects use randomized field trials to answer the causal questions. To evaluate the relevance of newly funded research projects, a panel of experienced education practitioners and administrators will review descriptions of a randomly selected sample of newly funded projects and rate the degree to which the projects are relevant to practice.

Other indicators and measures are still under development in areas such as the quality of project products and long-term impact. Data on these measures will be collected from the

projects funded under this notice. Grantees will also be required to report information on their projects' performance in annual reports to the Department (EDGAR, 34 CFR 75.590).

We will notify grantees of the performance measures once they are developed.

APPLICATIONS AVAILABLE: July 2, 2004.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: August 23, 2004.

ESTIMATED AVAILABLE FUNDS: \$4,800,000.

ESTIMATED AVERAGE SIZE OF AWARDS: \$960,000.

MAXIMUM AWARDS: We will reject an application that proposes a budget exceeding \$1,000,000 for a single budget period of 12 months. The Assistant Secretary for the Office of Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

ESTIMATED NUMBER OF AWARDS: 5.

Note: The Department is not bound by any estimates in this notice.

PROJECT PERIOD: Up to 60 months.

PAGE LIMITS: If you are an applicant, Part III of an application submitted under this notice, the application narrative, is where an applicant addresses the selection criteria that are used by reviewers to evaluate the application. You must limit Part III to the equivalent of no more than 70 pages, using the following standards:

- A "page" is 8.5" x 11", (on one side only) with one-inch margins (top, bottom, and sides).
- Double-space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography, references, or the letters of support. However, you must include all of the application narrative in Part III.

We will reject any application if --

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

GENERAL REQUIREMENTS: (a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities (see section 606 of IDEA); and

(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities in planning, implementing, and evaluating the projects (see section 661(f)(1)(A) of IDEA);

APPLICABLE REGULATIONS: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99; and (b) The selection criteria for this program are drawn from EDGAR in 34 CFR 75.210.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

ELIGIBLE APPLICANTS:

State educational agencies (SEAs); local educational agencies (LEAs); institutions of higher education (IHEs); other public agencies; nonprofit private organizations; outlying areas; freely associated States; and Indian tribes and tribal organizations.

For further information about this priority contact:

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Research to Practice Division
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TDD: 1-800-877-8339*

SELECTION CRITERIA AND FORMAT FOR THE RESEARCH ON ACCESSIBLE READING ASSESSMENTS COMPETITION

Part III of the application form requires a narrative that addresses the selection criteria that will be used by reviewers in evaluating individual proposals. Applications are more likely to receive favorable reviews by panels when they are organized according to the format suggested below. This format was published in the FEDERAL REGISTER as an appendix to the program regulations, and it addresses all the selection criteria used to evaluate applications required by regulations. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

The selection criteria that will be used to evaluate applications submitted to the Research on Accessible Reading Assessments competition, are the selection criteria for new grants required by the EDGAR general selection criteria menu. The maximum score for all of the criteria is 100 points.

A one-page **abstract** should precede the application narrative. The application narrative should include the following sections in this order:

(a) Significance (20 points)

- (1) The Secretary considers the significance of the proposed project.
- (2) In determining the significance of the proposed project, the Secretary considers the following factors:
 - (i) The significance of the problem or issue to be addressed by the proposed project;
 - (ii) The potential contribution of the proposed project to increase knowledge or understanding of educational problems, issues, or effective strategies;
 - (iii) The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field of study; and
 - (iv) The extent to which the results of the proposed project are to be disseminated in ways that will enable others to use the information or strategies.

(b) Quality of the project design (35 points)

- (1) The Secretary considers the quality of the design of the proposed project.
- (2) In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(i) The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework;

(ii) The extent to which the proposed research design includes a thorough, high-quality review of the relevant literature, a high-quality plan for research activities, and the use of appropriate theoretical and methodological tools, including those of a variety of disciplines, if appropriate;

(iii) The extent to which the proposed project encourages parental involvement; and

(iv) The extent to which the proposed project encourages consumer involvement.

(c) Quality of project personnel (20 points)

(1) The Secretary considers the quality of the personnel who will carry out the proposed project.

(2) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The qualifications, including relevant training and experience, of key project personnel; and

(ii) The qualifications, including relevant training and experience, of project consultants or subcontractors.

(d) Quality of the management plan (15 points)

(1) The Secretary considers the quality of the management plan for the proposed project.

(2) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;

(ii) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project; and

(iii) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

(e) Adequacy of resources (10 points)

(1) The Secretary considers the adequacy of resources for the proposed project.

(2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization;

(ii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;

(iii) The extent to which the budget is adequate to support the proposed project; and

(iv) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

GENERAL INFORMATION
ON COMPLETING
AN APPLICATION

GENERAL INFORMATION ON COMPLETING AN APPLICATION

Potential applicants frequently direct questions to officials of the Department regarding application notices and programmatic and administrative regulations governing various direct grant programs. To assist potential applicants, the Office of Special Education Programs staff have assembled the following most commonly raised issues. In general, this information applies to the grant competitions covered by this application package.

- **EXTENSION OF DEADLINES**

Waivers for individual applications are not granted, regardless of the circumstances. Under very extraordinary circumstances a closing date may be changed. Such changes are announced in the Federal Register.

- **COPIES OF THE APPLICATION**

Current Government-wide policy is that only an original and two copies need to be submitted. OSEP would appreciate receiving three additional copies to facilitate the peer review process. This would mean an original and two copies need to be submitted and we would appreciate your voluntarily submitting an additional three copies (six applications in all). Copies of the application may be bound, but it is not necessary or required. If bound, one copy should be left unbound to facilitate electronic scanning and any necessary reproduction. Applicants should not use colored paper, foldouts, photographs, or other materials that are hard to duplicate.

- **MAKING APPLICATIONS MORE ACCESSIBLE TO REVIEWERS WHO ARE BLIND OR HAVE LOW VISION**

The Department will accept one copy of the application in an accessible format (i.e., IBM PC compatible WordPerfect or ASCII code diskette) along with the original and two print copies of the application. The accessible format copy can be used with available software to convert the text of the application into Braille, or with text to voice applications. If there are any differences in the print original provided on the disk and in print, the print original is assumed to be the correct version. Please note that it is not a requirement that one copy of the application be in an accessible format.

- **MISSED DEADLINES AND SUBMISSION UNDER OTHER COMPETITIONS**

Should an application miss the deadline for a particular competition, it may be submitted to another competition. However, if an application is properly prepared to meet the specifications of one competition, it is extremely unlikely that it would be favorably evaluated under a different competition.

- **SUBMISSION TO MORE THAN ONE PROGRAM**

Applications may be submitted to more than one Federal program if you are unsure of the most appropriate program. Each application should be prepared following the instructions for that particular program as closely as possible (which may require some reformulation). It is very helpful if each program is notified that an identical or similar application is being submitted to another program.

- **HELP PREPARING APPLICATIONS**

We are happy to provide general program information. Clearly it would not be appropriate for staff to participate in the actual writing of an application, but we can respond to specific questions about our application requirements and evaluation criteria, or about the announced priorities. Applicants should understand that such previous contact is not required, nor does it guarantee the success of an application.

- **NOTIFICATION OF FUNDING**

The time required to complete the evaluation of applications is variable. Once applications have been received staff must determine the areas of expertise needed to appropriately evaluate the applications, identify and contact potential reviewers, convene peer review panels, and summarize and review the recommendations of the review panels. You can expect to receive notification within 3 to 6 months of the application closing date, depending on the number of applications received and the number of competitions with closing dates at about the same time. The requested start date can be no later than January 1 of the year following the closing date of the competition.

- **POSSIBILITY OF LEARNING THE OUTCOME OF REVIEW PANELS PRIOR TO OFFICIAL NOTIFICATION**

Every year we are called by a number of applicants who have legitimate reasons for needing to know the outcome of the review prior to official notification. Some applicants need to make job decisions, some need to notify a local school district, etc. Regardless of the reason, we cannot share information about the review with anyone until the Assistant Secretary has approved a slate of projects recommended for funding. You will be notified as quickly as possible either by telephone (if your application is recommended for funding), or through a letter (if your application is not successful).

- **FORMAT FOR APPLICATIONS**

The application narrative (Part III of the application form) should be organized to follow the exact sequence of the components in the selection criteria used to evaluate applications. (The selection criteria for the competitions covered by this packet are listed following the specific competition information in section “B” of this packet.) A table of contents, list of priority requirements, and a one-page abstract summarizing the objectives, activities, project participants, and expected outcomes of the proposed project should precede the application narrative. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

To aid in screening and reviewing the application, applicants should list in Part II and prior to the abstract, all general, special, and other requirements for the priority and corresponding page number (s) where requirements are addressed within the application. Page limits do not apply to this list. (All requirements are found in each priority description included in this application package.) The format included below is an example of how you might provide this information in your application.

Page #	Requirements
_____	(a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities. (See Section 606 of IDEA)
_____	(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities in planning, implementing, and evaluating the projects. (See Section 661(f)(1)(A) of IDEA)
_____	(c) Applicant must describe steps to ensure equitable access to, and participation in, its program for students, teachers, and other program beneficiaries with special needs. (See Section 427, GEPA)
_____	(d) Projects funded under these priorities must budget for a two-day Project's Directors' meeting in Washington, D.C. during each year of the project.

- **BEST WAY TO PREPARE PROGRAM ABSTRACT**

The program abstract should be one page in length. It would be helpful if it included; the title of the program, the name of the Absolute Priority, and the CFDA Number (e.g., 84.324F, etc.).

- **PAGE LIMITS**

Please note that all applications submitted under the competition in this application package must adhere to the Part III - Application Narrative page limit requirements that are specified under each priority/competition description. Your application should provide enough information to allow the review panel to evaluate the importance and impact of the project as well as to make knowledgeable judgments about the methods you propose to use (design, subjects, sampling procedures, measures, instruments, data analysis strategies, etc.). It is often helpful to have:

- (1) Staff Vitae--They should include each person's title and role in the proposed project and contain only information that is relevant to this proposed project's activities and/or publications. Vitae for consultants and Advisory Council members should be similarly brief.
- (2) Instruments--except in the case of generally available and well known instruments.
- (3) Agreements--when the participation of an agency other than the applicant is critical to the project. This is particularly critical when an intervention will be implemented within an agency, or when subjects will be drawn from particular agencies. Letters of cooperation should be specific, indicating agreement to implement a particular intervention or to provide access to a particular group of students.

The items listed above are not included under page limits.

- **MAKING SURE APPLICATION IS ASSIGNED TO THE CORRECT COMPETITION**

Applicants should clearly indicate in Item 3 on the application (ED Form 424) the CFDA number of the program priority (e.g., 84.324F, etc.) representing the competition in which the application should be considered. If this information is not provided, your application may inadvertently be assigned and reviewed under a different competition from the one you intended.

- **RETURN OF NON-FUNDED APPLICATIONS**

We do not return original copies of applications. Thus, applicants should retain at least one copy of the application. Copies of reviewer comments will be mailed to all applicants.

- **PROPOSED STAFF AVAILABILITY TO PROJECT**

For each staff person named in the application, please provide documentation of all internal and external time commitments. In instances where a staff person is committed on a federally supported project, please provide the project name, Federal office, program title, the project Federal award number, and the amount of committed time by each project year. This information (e.g., Staff: Jane Doe; Project Name: Succeeding in the General Curriculum; Federal office: Office of Special Education Programs; Program title: Field Initiated Research; Award number: H324C980624; Time commitments: Year 1—30%; Year 2—25% and Year 3—40%) can be provided as an Appendix to the application.

In general, we will not reduce time commitments on currently funded grants from the time proposed in the original application. Therefore, we will not consider for funding any application where key staff are bid above a time commitment level that staff have available to bid. Further, the time commitments stated in newly submitted applications will not be negotiated down to permit the applicant to receive a new grant award.

- **USE OF PERSON LOADING CHARTS**

It is important for applicants to include proposed time commitments for all project personnel. Also, program officials and applicants often find person loading charts useful formats for showing project personnel and their time commitments to individual activities. A person loading chart is a tabular representation of major evaluation activities by number of days spent by each key person involved in each activity, as shown in the following example.

Table #
Person Loading Chart - Time in Day(s) by Person*

Activity	Time in Day(s) by Person			
	Person A	Person B	Person C	Person D
Library Research	15	20	0	0
Hire Staff	0	0	0	5
Prepare Materials	5	25	0	0
Train Raters	0	2	0	0
Data Collection	60	60	0	0
Data Analysis	0	0	25	5
Dissemination (manuscripts, etc.)	0	1	0	10

*Note: All figures represent FTE for the academic year.

- DELIVERING/SENDING APPLICATIONS TO THE COMPETITION MANAGER

Applications can be mailed or hand delivered, or submitted electronically but in either case must go to the Application Control Center at the address listed in the Application Transmittal Instructions. Delivering or sending the application to the competition manager in the program office may prevent it from being logged in on time to the appropriate competition and may result in the application not being reviewed.

- ALLOWED TRAVEL UNDER THESE PROJECTS

Travel is allowed if the travel specifically relates to the expressed goals of the project. Travel by students to further their education under the project's goals is also allowed. Travel to conferences is the travel item that is most likely to be questioned during negotiations. Such travel is sometimes allowed when it is for purposes of dissemination, when there will be results to be disseminated, and when it is clear that a conference presentation or workshop is an effective way of reaching a particular target group.

- FUNDING OF APPROVED APPLICATIONS

It is often the case that the number of applications recommended for approval by the reviewers exceeds the dollars available for funding projects under a particular competition. When the panel reviews are completed for a particular competition, the individual reviewer scores and applications are ranked. The higher ranked, approved applications are funded first, and there are often lower ranked, approved applications that do not receive funding. Sometimes, one or two applications that are approved and fall next in rank order (after those projects selected for funding) are placed on hold. If dollars become available as a result of negotiations, or if a higher ranked applicant declines the award, the projects on hold may receive funding. If you receive a

letter stating that you will not receive funding, then your project has neither been selected for funding nor placed on hold.

- **INDIRECT COST RATE**

There is no maximum indirect cost for the competitions in this application package. An organization's current effective indirect cost rate is the rate that should be reflected in your proposed budget.

- **ISSUES RAISED DURING DISCUSSIONS PRIOR TO AWARD**

If your application is recommended for funding, discussions may be held prior to award to clarify technical or budget issues. These are issues that have been identified during panel and staff review. Generally, technical issues are minor issues that require clarification. Alternative approaches may be presented for your consideration, or you may be asked to provide additional information or rationale for something you have proposed to do. Sometimes, concerns are stated as "conditions". These are concerns that have been identified as so critical that the award cannot be made unless those conditions are met. Questions are also raised about the proposed budget during the discussion phase. Generally, budget issues are raised because there is inadequate justification or explanation of the particular budget item, or because the budget item does not seem critical to the successful completion of the project. A Federal project officer will present the issues to you and ask you to respond. If you do not understand the question, you should ask for clarification. In responding to discussion items you should provide any additional information or clarification requested. You may feel that an issue was addressed in the application. It may not, however, have been explained in enough detail to make it understood by reviewers, and more information should be provided. If you are asked to make changes that you feel could seriously affect the project's success, you may provide reasons for not making the changes, or provide alternative suggestions. Similarly, if proposed budget reductions will, in your opinion, seriously affect the proposed activities, you may want to explain why and provide additional justification for the proposed expenses. Your changes, explanations, and alternative suggestions will be carefully evaluated by staff. In some instances, an applicant may again be contacted for additional information. An award cannot be made until all issues have been resolved and conditions met.

- **TREATING A PRIORITY AS TWO SEPARATE COMPETITIONS.** In the past, there have been problems in finding peer reviewers without conflicts of interest where applications are made by many entities throughout the country. The Standing Panel requirements under the IDEA Amendments of 1997 have also placed additional constraints on the availability of reviewers. Therefore, The Department has determined that, for some discretionary priorities, applications may be ranked and selected for funding in two or more groups, which will ensure the availability of a much larger group of reviewers without conflicts of interest. This procedure will increase the quality, independence and fairness of the review process and will permit panel members to review applications under discretionary priorities to which they have also submitted applications.

- **SUCCESSFUL APPLICATIONS AND ESTIMATED/PROJECTED BUDGET AMOUNTS IN SUBSEQUENT YEARS**

There is a maximum award amount specified for the priority/competitions included in this package. The Department rejects and does not consider an application that proposes a budget exceeding the maximum amount for any single budget period of 12 months for the priorities included in this package. Please refer to the priority description to determine the maximum award for any one particular competition. Since the yearly budgets for multi-year projects will be negotiated at the time of the initial award, applicants must include detailed budgets for each year of their proposed project. Generally, out-year funding levels most likely will not exceed 1st year budgets. However, budget modifications during the negotiation process, the findings from the previous year, or needed changes in the study design can affect your budget requirements in subsequent years, but in no case will out-year budgets exceed the maximum award amount.

- **REQUIREMENT TO REPORT THE RESULTS OF GRANT ACTIVITIES**

The Department shall, where appropriate, require recipients of all grants, contracts and cooperative agreements under Part D of the Individuals with Disabilities Education Act to prepare reports describing their procedures, findings, and other relevant information. The Department shall require their delivery to the Department of Education, and other networks as The Department may determine appropriate. (20 U.S.C. 1461)

- **DIFFERENCE BETWEEN A COOPERATIVE AGREEMENT AND A GRANT**

A cooperative agreement is similar to a grant in that its principal purpose is to accomplish a public purpose of support or stimulation as authorized by a Federal statute. It differs from a grant in the sense that in a cooperative agreement substantial involvement is anticipated between the executive agency (in this case the Department of Education) and the recipient during the performance of the contemplated activity.

- **DIFFERENCE BETWEEN AN ABSOLUTE PRIORITY, AN INVITATIONAL PRIORITY, AND A COMPETITIVE PRIORITY**

An absolute priority is a priority that an applicant must address in order to receive an award. If an applicant does not address an absolute priority, their application will be returned as being non-responsive to the priority.

An invitational priority is a priority that reflects a particular interest of the Department, and an applicant is encouraged to address the invitational priority along with the required absolute priority. However, an applicant choosing to address an invitational priority, will not receive any competitive preference over other applications.

A competitive priority is like an invitational priority in that it reflects a particular interest of the Department, and an applicant is encouraged to address the competitive priority along with the required absolute priority. A competitive priority may be handled in one of two ways: (1) an application may be awarded additional points depending on how effectively it addresses the

competitive priority; or (2) an application that meets a competitive priority may be selected over an application of comparable merit that does not address the competitive priority. The type of competitive priority for a particular competition is always included in the FEDERAL REGISTER announcement.

- **OBTAINING COPIES OF THE FEDERAL REGISTER, PROGRAM REGULATIONS AND FEDERAL STATUTES**

Copies of these materials can usually be found at your local library. If not, they can be obtained by writing to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402
Telephone: (202) 512-1800.

Information about the Department's funding opportunities, including copies of application notices for discretionary grant competitions, can be viewed on the Department's grant information web page which can be accessed on the INTERNET at:

<http://www.ed.gov/about/offices/list/ocfo/gcsindex.html>

However, the official application notice for a discretionary grant competition is the notice published in the FEDERAL REGISTER.

APPLICATION TRANSMITTAL INSTRUCTIONS
AND
REQUIREMENTS FOR INTERGOVERNMENTAL REVIEW

Application Transmittal Instructions

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirement and waiver instructions in the Federal Register notice.

An original and two copies of an application for an award must be mailed or hand-delivered by the application deadline date unless it is submitted electronically. To help expedite our review of your application, we would appreciate your voluntarily including an additional 3 copies of your application.

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, DC time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesday for maintenance (Washington, DC time). Any modifications to these hours are posted on the e-Grants Web site.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

Applications Delivered by Mail

Applications sent by mail must be addressed to:

**U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.324F)**

**400 Maryland Avenue, SW.
Washington, D.C. 20202**

Applicants must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service

Applicants should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

If you send your application by mail or if you or your courier deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

You must indicate on the envelope and—if not provided by the Department—in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 11/30/2004)) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

If your application is late, we will notify you that we will not consider the application.

Applications Delivered by Hand/Courier Service

An application that is hand-delivered must be taken to:

**U.S. Department of Education
Application Control Center
Room 7041
Potomac Center Plaza
550 12th Street, SW
Washington, D.C. 20202**

The Application Control Center accepts deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time), except Saturdays, Sundays and Federal holidays.

A person delivering an application must show identification to enter the building.

NOTICE TO ALL APPLICANTS
(ENSURING EQUITABLE ACCESS)
AND
APPLICATION FORMS AND INSTRUCTIONS

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651.

APPLICATION FORMS AND INSTRUCTIONS

The application is divided into four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

Part I: Application for Federal Education Assistance (ED 424) and Instructions.

Part II: Budget Information -- Non-Construction Programs (ED Form 524) and Instructions.

Part III: Application Narrative.

Part IV: Assurances and Certifications --

Assurances -- Non-Construction Programs (Standard Form 424B).

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED Form 80-0013).

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions (ED Form 80-0014) and Instructions.

Disclosure of Lobbying Activities.

Important Notice to Prospective Participants in USDE Contract and Grant Programs.

An applicant may submit information on a photostatic copy of the application and budget forms, the assurances, and the certifications. However, the application form, the assurances, and the certifications must each have an original signature. No grant may be awarded unless a completed application form has been received.

Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved
OMB No. 1875-0106
Exp. 11/30/2004

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number |_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|

6. Novice Applicant ☐ Yes ☐ No

3. Applicant's T-I-N |_|_|_| - |_|_|_|_|_|_|_|_|_|_|_|_|

7. Is the applicant delinquent on any Federal debt? ☐ Yes ☐ No
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: 84. 3 _ 2 _ 4 _ F _

Title: Research on Accessible Reading Assessments

8. Type of Applicant (Enter appropriate letter in the box.) |_|_|_|

A - State F - Independent School District
B - Local G - Public College or University
C - Special District H - Private, Non-profit College or University
D - Indian Tribe I - Non-profit Organization
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): _____

5. Project Director: _____

Address: _____

City _____ State _____ Zip code + 4 _____
Tel. #: () _____ - _____ Fax #: () _____ - _____

E-Mail Address: _____

Application Information

9. Type of Submission:

-PreApplication *-Application*
☐ Construction ☐ Construction
☐ Non-Construction ☐ Non-Construction

10. Is application subject to review by Executive Order 12372 process?

☐ Yes (Date made available to the Executive Order 12372
process for review): ____/____/_____
☐ No (If "No," check appropriate box below.)
☐ Program is not covered by E.O. 12372.
☐ Program has not been selected by State for review.

11. Proposed Project Dates: ____/____/_____
Start Date: End Date:

12. Are any research activities involving human subjects planned at
any time during the proposed project period?
☐ Yes (Go to 12a.) ☐ No (Go to item 13.)

12a. Are all the research activities proposed designated to be
exempt from the regulations?
☐ Yes (Provide Exemption(s) #): _____
☐ No (Provide Assurance #): _____

13. Descriptive Title of Applicant's Project:

Estimated Funding

14a. Federal \$ _____ . 00
b. Applicant \$ _____ . 00
c. State \$ _____ . 00
d. Local \$ _____ . 00
e. Other \$ _____ . 00
f. Program Income \$ _____ . 00
g. TOTAL \$ _____ . 00

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true
and correct. The document has been duly authorized by the governing body of the applicant
and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: _____

c. Tel. #: () _____ - _____ Fax #: () _____ - _____

d. E-Mail Address: _____

e. Signature of Authorized Representative

_____ Date: ____/____/_____

Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.

applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check **"No."**
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
- 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
- 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Novice Applicant.** Check **"Yes"** or **"No"** only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check **"Yes"** if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check **"No"** if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check **"Yes"** if the applicant's organization is delinquent on any Federal debt. (This question refers to the
- 8. Type of Applicant.** Enter the appropriate letter in the box provided.
- 9. Type of Submission.** See "Definitions for Form ED 424" attached.
- 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check **"Yes"** if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check **"No."**
- 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
- 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

If Not Human Subjects Research. Check **"No"** if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

If Human Subjects Research. Check **"Yes"** if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check **"Yes"** even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")
- 12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check **"Yes"** if all the research activities proposed are designated to be exempt from the regulations. Insert the

exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

12a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

13. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you

should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

14. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

15. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3671, Washington, D.C. 20202-4725

Definitions for Form ED 424

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are

conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the

legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>

**U.S. DEPARTMENT OF EDUCATION****BUDGET INFORMATION****NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: OMB APPROVED

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A – BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						
ED Form No. 524						

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1."
Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION B – BUDGET SUMMARY
NON-FEDERAL FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - OTHER BUDGET INFORMATION (see instructions)

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

INSTRUCTIONS FOR ED FORM 524

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are

provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If

non-Federal contributions are provided for only one year, leave this space blank.

Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

PART III - APPLICATION NARRATIVE

This narrative section of the application requires applicants to address the selection criteria that will be used by reviewers in evaluating individual applications. Please refer to the “Selection Criteria and Format” sections in this package for the competition to which you wish to submit an application.

Also, all of the competitions covered by this package have page limitations for the application narrative. Please refer to the “Page Limits” information for the competition to which you wish to submit an application.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET.
SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

**CERTIFICATIONS REGARDING LOBBYING;
DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS; AND DRUG-FREE
WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of

embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3600, GSA Regional Office Building No. 3), Washington, DC 20202-4130. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants and Contracts Service, Department of Education, 600 Independence Avenue, S.W. (Room 3600, GSA Regional Office Building No. 3), Washington, DC 20202-4130. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms, covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered

transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "[Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions,]" without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT NAME	PR/AWARD NUMBER AND/OR PROJECT
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. Type of Federal Action: a. contract ___ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application ___ b. initial award c. post-award	3. Report Type: a. initial filing ___ b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: ___ Prime ___ Subawardee Tier_____, if Known: Congressional District, if known:		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
Federal Use Only		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS
IN U.S. DEPARTMENT OF EDUCATION
GRANT AND CONTRACT PROGRAMS**

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

Failure to meet a deadline will mean that an applicant will be rejected without any consideration.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. Six-month or one-year subscriptions to the daily, official Federal Register may be ordered from the U. S. Government Printing Office at the following url:

<http://bookstore.gpo.gov/regulatory/fed-reg.html>. The Federal Register Complete Service is also available in microfiche on the same web page. In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services: <http://www.nara.archives.gov>

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employee is authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url:

<http://www.ed.gov/fund/contract/apply/currrfp.html>

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal, which is non-responsive to the RFP. Six-month or one-year subscriptions to the CBD may be ordered from the U.S. Government Printing Office at the following url:

<http://bookstore.gpo.gov/regulatory/cbd.html>. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1. The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>.

ED FORM 5348, 10/01



Survey on Ensuring Equal Opportunity FOR APPLICANTS

Do not enter information below unless instructed to do so.

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

Instructions for Submitting Survey

If submitting hard copy, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

If submitting electronically, please include the PR Award Number assigned to your e-application in the box above entitled "**Do not enter information below unless instructed to do so.**" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Room 7067 Potomac Center Plaza, 550 12th Street, Washington, DC 20202.

1. Does the applicant have 501(c)(3) status?

☐

Yes

☐

No

2. How many full-time equivalent employees does the applicant have?
(Check only one box).

☐

3 or Fewer

☐

15-50

☐

4-5

☐

51-100

☐

6-14

☐

over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

☐

Less Than \$150,000

☐

\$150,000 - \$299,999

☐

\$300,000 - \$499,999

☐

\$500,000 - \$999,999

☐

\$1,000,000 - \$4,999,999

☐

\$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐

Yes

☐

No

5. Is the applicant a non-religious community-based organization?

☐

Yes

☐

No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐

Yes

☐

No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐

Yes

☐

No

8. Is the applicant a local affiliate of a national organization?

☐

Yes

☐

No

Survey Instructions on Ensuring Equal Opportunity for Applicant

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Room 7067 Potomac Center Plaza, 550 12th Street, Washington, DC 20202.

NOTICE TO ALL APPLICANTS: Program Performance Measures Under The Government Performance And Results Act (GPRA)

What is GPRA

The Government Performance and Results Act of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report its progress to the Congress. In doing so, it is expected that GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the United States Department of Education responded to the GPRA Requirements?

As required by GPRA, the United States Department of Education (the Department) has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

- Goal 1: Create a Culture of Achievement:** Create a culture of achievement throughout the nation's education system by effectively implementing the new law, the No Child Left Behind Act of 2001, and by basing all federal education programs on its principles: accountability, flexibility, expanded parental options and doing what works.
- Goal 2: Improve Student Achievement:** Improve student achievement for all groups of students by putting reading first, expanding high-quality mathematics and science teaching, reforming high schools, and boosting teacher and principal quality, thereby closing the achievement gap.
- Goal 3: Develop Safe Schools and Strong Character:** Establish disciplined and drug-free education environments that foster the development of good character and citizenship.
- Goal 4: Transform Education into an Evidence-based Field:** Strengthen the quality of education research.
- Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education:** Increase opportunities for students and the effectiveness of institutions.
- Goal 6: Establish Management Excellence:** Create a culture of accountability throughout the Department of Education.

WHAT ARE THE PERFORMANCE INDICATORS FOR THE IDEA: RESEARCH AND INNOVATION TO IMPROVE SERVICES AND RESULTS FOR CHILDREN WITH DISABILITIES PROGRAM WHICH IS INCLUDED IN THIS ANNOUNCEMENT?

THE PROGRAM INCLUDED IN THIS ANNOUNCEMENT IS AUTHORIZED UNDER PART D OF THE INDIVIDUALS WITH DISABILITIES EDUCATION ACT, TITLED "NATIONAL ACTIVITIES TO IMPROVE EDUCATION OF CHILDREN WITH DISABILITIES". THE DEPARTMENT'S SPECIFIC GOAL FOR THE IDEA NATIONAL ACTIVITIES PROGRAMS IS "to link best scientifically-based practices to states, school systems, and families to improve results for infants, toddlers, and children with disabilities." The goal, objectives and performance indicators for this program is as follows:

Goal 8: To produce and advance the use of knowledge to improve services provided under IDEA and results for children with disabilities.

Objective 8.1: Improve the quality of research and development projects.

Indicator 8.1.1: **HIGH QUALITY PROJECTS:** By 2013, all research and development projects will be deemed to be of high quality.

Indicator 8.1.2: **RANDOMIZED DESIGNS:** By 2013, all projects that address causal questions will employ randomized experimental designs.

Objective 8.2: Increase the relevance of research and development projects to the needs of children with disabilities.

Indicator 8.2.1: **RELEVANCE JUDGED BY SCIENTISTS:** By 2013, scientist will judge all research and development projects to be of high relevance to the needs of children with disabilities.

Indicator 8.2.2: **RELEVANCE JUDGED BY STAKEHOLDERS:** By 2013, stakeholders will judge all research and development projects to be of high relevance to the needs of children with disabilities.

PROGRAM STRATEGIES:

1. Identify children with developmental delay in the first year of life.
2. Identify children with learning and behavior difficulty prior to third grade.
3. Serve children with disabilities ages birth through five in settings typical for non-disabled peers.
4. Provide effective coordination of services for children with disabilities.
5. Identify knowledge and performance attributes of teachers and service providers that are related to improved outcomes for children with disabilities.
6. Improve reading skills of children with disabilities who are not progressing in the general education curriculum with effective interventions.
7. Improve language/communication, cognitive functioning, and pre-reading skills of preschool children with disabilities.
8. Improve functional abilities and development of infants and toddlers with disabilities.
9. Improve development and use of universally designed educational standards, curriculum, instruction and assessment.
10. Enhance school completion and prevent dropout.
11. Improve transition and academic goals for adolescents with disabilities.
12. Enhance the capacity of States to improve results for children with disabilities.

Objective 8.3: Produce high quality products and communicate information for appropriate audiences.

Indicator 8.3.1: **HIGH QUALITY PRODUCTS:** By 2013, the percentage of projects that produce high quality products appropriate for the target audience will increase to 95 percent (all projects) and 85 percent (projects addressing long-term strategies).

Indicator 8.3.2: **PUBLISHED FINDINGS:** By 2013, the percentage of research projects that have findings published in peer-refereed journals will increase to 90 percent (all projects) and 85 percent (projects addressing long-term strategies).

The Office of Special Education Programs (OSEP) will collect information to assess progress and performance by requiring the applicant to report evaluation data in the projects' annual performance reports (EDGAR, 34 CFR 75.590). See Performance Measures on page B-5 of the Priority Description section of this application package.

DUNS Number Instructions

D-U-N-S No.: Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

<http://www.dnb.com/dbis/aboutdb/intlduns.htm>

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education
Application Control Center
(202) 245-6288

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page

<http://www.ed.gov/>

(WWW address)